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# FEDERAL AND LOCAL MATCH REQUIREMENTS

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## Match Overview

This section contains requirements about providing local match for the FTA grant programs. Before covering the requirements of each program, here are a few principles that apply to the match regardless of the grant program.

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### Match is for the Project

Match must be dedicated to the purpose of your proposed project. Local funds that are match for the federal grant must be from funds that are dedicated to that specific project! That is, if you are proposing a New Freedom project, you can't use funds you're receiving from Health and Human Services (HHS) to provide meals to homebound seniors as match, nor can you use funds from Head Start to transport kids to a Head Start program, because those purposes would NOT be related to your New Freedom project.

If you receive funding from a general, open-ended grant or appropriation, you can use part or all of it to match your FTA grant—if are not prohibited from doing so by that other funding source. CDOT recommends that you confirm your usage of those funds as match in order to avoid audit problems later on. In some cases CDOT may confirm the eligibility of local match.

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### Match can Only be Counted Once

You cannot use the *same* dollars to match more than one program. In other words, you cannot use Title III funds from the Older Americans Act to match both your Section 5311 and 5317 grants. You can split funding from a grant to match other grants, but you should clearly document the split.

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## Local Match for Capital Requests Must be in Cash

You are allowed to use non-cash or contributed items for operational, administrative, and planning expenses (see separate item below). FTA funds will not exceed an 80 percent match ("share") for capital purchases. The 20 percent local match must be in cash. For example, you could not request that FTA pay the full cost of a bus and then use the payments you receive for providing Medicaid transportation services as your local match.

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## Local Match for Capital Purchases and Expenses Under Administration and Planning Must be at Least 20 Percent

The minimum local "share" is 20 percent for capital purchases, administration, and planning. There are differences between the grant programs in what is eligible for use as local match, but in all cases the maximum federal share is 80 percent.

In the programs that fund administrative and/or planning expenses, the maximum federal share is 80 percent; the minimum local share is 20 percent.

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## Federal Funding Used as Local Match

In most federal programs, local match must come from local sources; federal funding is not allowable as local match.

Except...the FTA Sections 5311, 5316, and 5317 programs are exceptions! Under these programs and to varying degrees (see individual program restrictions below), and to better promote the coordinated use of federal funds, federal, non-USDOT funds may be used for local match.

## Section 5310 Match Requirements for Capital

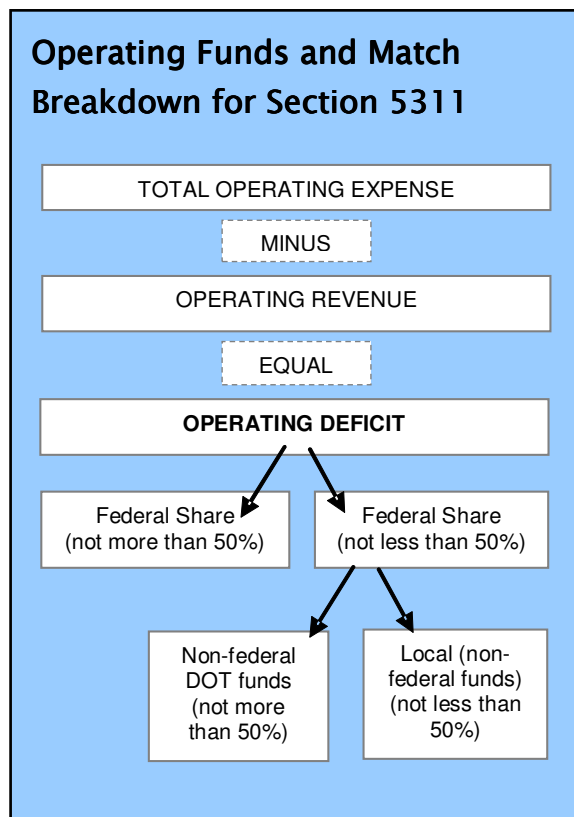
These funds are only available for capital purchases. The match must come from local sources; federal funds cannot be used for match.

Your local match—“share”—for eligible capital costs must be at least 20 percent of the net costs of the capital purchase. The federal share can be no more than 80 percent.

You must show that the entire local share comes from sources other than federal funds and is in cash.

Some examples of non-federal sources of local match that may be used for any or all of the local share for 5310 funds include:

- state or local appropriations
- dedicated tax revenues
- private donations



## Section 5311 Match Requirements

### 5311 Operating Funds

The federal share cannot exceed 50 percent of the net operating deficit of the project (see Figure below). The net operating deficit is the total operating costs minus operating revenues (such as fares or donations). Of the remainder of the deficit, at least 50 percent must be financed from sources other than federal funds; i.e., at least half of the local match must come from local funds. Up to 50 percent of the match can come from federal sources, excluding DOT funds.

Examples of non-federal sources of local match that may be used for a portion or the entire local match include:

- state or local appropriations
- dedicated tax revenues
- private donations

However, contract revenue from federal sources can be used indirectly as local match. For example,

- income from contracts to provide human service transportation
- funds under service agreements with a state or local social service agency
- funds under service agreements with a private social service organization

You may treat these as local funds rather than federal funds—even if their original source was from another federal program.

### 5311 Capital and Administration Funds

The local match for eligible capital and administrative costs is at least 20 percent of the net costs of the program; the federal match can be no more than 80 percent.

CDOT generally discourages capital purchases under the 5311 program if that purchase can be made with 5310 funds. This year, the American Recovery and Reinvestment Act is an exception. These requests will

be handled under 5311. See the Capital Explanation section for further detail.

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## 5311 Non-Cash Match

You may use non-cash items such as volunteered services or in-kind contributions toward the local match, but you must formally document the monetary value. Furthermore, the match must represent a cost that would otherwise be eligible under the project, i.e., any non-cash contribution must be an eligible expense under the program and an expense you'd otherwise have to pay for. An example of this would be fuel paid for by the county for use in the transit agency's vehicles.

Non-cash shares must be included as *both* revenues and expenses in your budget.

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## Section 5316 and Section 5317 Match Requirements

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### Eligible JARC Expenses

JARC funds may be used for capital, planning, and operating expenses. The local share of eligible capital and planning costs must be at least 20 percent of the net cost of the activity.

**Capital and Planning Expenses.** The local share of eligible capital and planning costs must be at least 20 percent of the net cost of the activity or expense.

**Operating Expenses.** The local share for eligible operating costs must be at least 50 percent of the net operating costs.

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### New Freedom Match for Capital and Operating Expenses

New Freedom funds may be used for capital and operating expenses.

**Capital Expenses.** The local share of eligible capital costs must be at least 20 percent of the net cost. The federal share can be no more than 80 percent of the net cost.

**Operating Expenses.** The local share for eligible operating costs must be at least 50

percent of the net operating costs. The federal share cannot exceed 50 percent of the net costs of the activity.

Income from contracts for providing human service transportation may be used under JARC or New Freedom for operating assistance, including the cost of providing that contract service in the project's total cost.

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## JARC/New Freedom Non-Cash Match

You may count non-cash share such as donations, volunteer services, and in-kind contributions toward the local match. However, *you must document and support the value of any non-cash match*, it must represent a cost that would otherwise be eligible under the program. The value of any non-cash contribution must be included in the net project costs in the project budget you submit.

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## Federal Funds Used for Match

The local match must come from sources other than the federal Department of Transportation. Examples of sources of local match that may be used for any or all of the local match include:

- Temporary Assistance for Needy Families (TANF)
- Medicaid
- Employment training programs
- Rehabilitation Services
- Administration on Aging (Title III)
- Community Services Block Grant, Community Development Block Grant (CDBG, CDBG)

A source of local match can't be counted twice, you cannot use the same match funds for different programs (for example, you can't use Title III to match both 5311 and 5317).

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## Non-Federal Funds Used for Match

The only federal funds that are considered "federal" are those that you receive *directly* from a federal agency, including the FTA (e.g.,

you wouldn't use Section 5309 funds to match JARC funds).

You may use 1 other federal programs funds for local match if those funds are eligible to be spent on transportation (other than funds from U.S. DOT programs). Examples include:

- state or local appropriations
- other non-DOT federal funds
- dedicated tax revenues
- private donations
- revenue from human service contracts

Federal transportation funds used for projects not within the scope of the proposed project cannot be used for part of the match.

To be eligible for local match for FTA funds, you must use the other federal funds for activities included in the total net project costs of the FTA grant. You cannot apply the expenditure of other federal funds for transportation outside the scope of the project as a credit for local match in the FTA grant.

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## Mobility Management Match Requirements

Mobility Management project support coordination programs among public transportation providers and other human service agencies providing transportation.

FTA's circulars allow Mobility Management to be funded as an eligible capital expense under Sections 5310, 5316, and 5317. Mobility Management can have up to an 80 percent federal match with a minimum of 20 percent local match.

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## Mobility Management Non-Cash Match

You may request the use of non-cash share such as donations, volunteer services, and in-kind contributions toward the local match. However, *you must document and support the value of any non-cash match*, it must represent a cost that would otherwise be eligible under the program. The value of any non-cash contribution must be included

in the net project costs in the project budget you submit.

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## Federal Regulations for Match, In-Kind Match, and Cost Sharing

The following material is taken from the Code of Federal Regulations, Title 49 Section 18.24, *Match or Cost Sharing*, and is the U.S. Department of Transportation's regulations for match, in-kind match, and cost sharing.

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### Acceptable Costs and Contributions

A matching or cost sharing requirement may be satisfied by either or both of the following:

- Allowable costs incurred by the grantee, subgrantee, or a cost-type contractor under the assistance agreement. This includes allowable costs borne by non-federal grants or by others cash donations from non-federal third parties.
- The value of third party in-kind contributions applicable to the period to which the cost sharing or matching requirements applies.

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### Qualifications and Exceptions

- *Costs borne by other federal grant agreements.* A cost sharing or matching requirement may not be met by costs borne by another federal grant, unless exempted by federal statute.

This prohibition does not apply to income earned by a grantee or subgrantee from a contract awarded under another federal grant.

- *General revenue sharing.* For the purpose of this section, general revenue sharing funds distributed under 31 U.S.C. 6702 are not considered federal grant funds.
- *Cost or contributions counted towards other federal costs-sharing requirements.* Neither costs nor the values of third party in-kind contributions may count towards satisfying a cost sharing or matching requirement of a grant agreement if they have been or will be counted towards satisfying a cost shar-

ing or matching requirement of another federal grant agreement, a federal procurement contract, or any other award of federal funds.

- *Costs financed by program income.* Costs financed by program income, as defined in Sec. 18.25, will not count towards satisfying a cost sharing or matching requirement unless they are expressly permitted in the terms of the assistance agreement.
- *Services or property financed by income earned by contractors.* Contractors under a grant may earn income from the activities carried out under the contract in addition to the amounts earned from the party awarding the contract. No costs of services or property supported by this income may count toward satisfying a cost sharing or matching requirement unless other provisions of the grant agreement expressly permit this kind of income to be used to meet the requirement.
- *Records.* Costs and third party in-kind contributions counting towards satisfying a cost sharing or matching requirement must be verifiable from the records of grantees and subgrantee or cost-type contractors. These records must show how the value placed on third party in-kind contributions was derived. To the extent feasible, volunteer services will be supported by the same methods that the organization uses to support the allocability of regular personnel costs.
- *Special standards for third party in-kind contributions.*
  - ♦ Third party in-kind contributions count towards satisfying a cost sharing or matching requirement only where, if the party receiving the contributions were to pay for them, the payments would be allowable costs.
  - ♦ Some third party in-kind contributions are goods and services that, if the grantee, subgrantee, or contractor receiving the contribution had to pay for them, the payments would have been an indirect cost. Costs sharing or matching credit for such contributions shall be given only if the grantee, subgrantee, or

contractor has established, along with its regular indirect cost rate, a special rate for allocating to individual projects or programs the value of the contributions.

- ♦ A third party in-kind contribution to a fixed-price contract may count towards satisfying a cost sharing or matching requirement only if it results in:
  - ✖ *An increase in the services or property provided under the contract (without additional cost to the grantee or subgrantee) or*
  - ✖ *A cost savings to the grantee or subgrantee.*
- ♦ The values placed on third party in-kind contributions for cost sharing or matching purposes will conform to the rules in the succeeding sections of this part. If a third party in-kind contribution is a type not treated in those sections, *the value placed upon it shall be fair and reasonable.*

#### **Valuation of Donated Services—**

- *Volunteer services.* Unpaid services provided to a grantee or subgrantee by individuals will be valued at rates consistent with those ordinarily paid for similar work in the grantee's or subgrantee's organization. If the grantee or subgrantee does not have employees performing similar work, the rates will be consistent with those ordinarily paid by other employers for similar work in the same labor market. In either case, a reasonable amount for fringe benefits may be included in the valuation.
- *Employees of other organizations.* When an employer other than a grantee, subgrantee, or cost-type contractor furnishes free of charge the services of an employee in the employee's normal line of work, the services will be valued at the employee's regular rate of pay exclusive of the employee's fringe benefits and overhead costs. If the services are in a different line of work, the previous paragraph applies.

***Valuation of third party donated supplies and loaned equipment or space***

- If a third party donates supplies, the contribution will be valued at the market value of the supplies when donated.
- If a third party donates the use of equipment or space in a building but retains title, the contribution will be valued at the fair rental rate of the equipment or space.

***Valuation of third party donated equipment, buildings, and land.*** If a third party donates equipment, buildings, or land, and title passes to a grantee or subgrantee, the treatment of the donated property will depend upon the purpose of the grant, as follows:

- Awards for capital expenditures. If the purpose of the grant is to assist the grantee or subgrantee in the acquisition of property, the market value of that property at the time of donation may be counted as cost sharing or matching,
- Other awards. If assisting in the acquisition of property is not the purpose of the grant, the following paragraphs apply:
  - ♦ If approval is obtained from the awarding agency, the market value at the time of donation of the donated equipment or buildings and the fair rental rate of the donated land may be counted as cost sharing or matching. In the case of a subgrant, the terms of the grant agreement may require that the approval be obtained from the federal agency as well as the grantee. In all cases, the approval may be given only if a purchase of the equipment or rental of the land would be approved as an allowable direct cost. If any part of the donated property was acquired with Federal funds, only the non-federal share of the property may be counted as cost-sharing or matching.
  - ♦ If approval is not obtained under the paragraph above, no amount may be counted for donated land, and only depreciation or use allowances may be counted for donated equipment and buildings. The depreciation or use allowances for this property are not treated as third party in-kind contributions. Instead, they are treated as costs incurred by the grantee or subgrantee. They are computed and allocated (usually as indirect costs) in accordance with the cost principles specified in Sec. 18.22, in the same way as depreciation or use allowances for purchased equipment and buildings. The amount of depreciation or use allowances for donated equipment and buildings is based on the property's market value at the time it was donated.
- ***Valuation of grantee or subgrantee donated real property for construction/acquisition.*** If a grantee or subgrantee donates real property for a construction or facilities acquisition project, the current market value of that property may be counted as cost sharing or matching. If any part of the donated property was acquired with Federal funds, only the non-federal share of the property may be counted as cost sharing or matching.
- ***Appraisal of real property.*** In some cases under the previous three main paragraphs of this section, it will be necessary to establish the market value of land or a building or the fair rental rate of land or of space in a building. In these cases, the federal agency may require the market value or fair rental value be set by an independent appraiser, and that the value or rate be certified by the grantee. This requirement will also be imposed by the grantee on subgrantees.

[53 FR 8086 and 8087, Mar. 11, 1988, as amended at 53 FR 8086, Mar. 11, 1988]

## In-Kind Match Report

Provide the following information if you are requesting use of any in-kind contributions as part of your match.

DONOR NAME	ITEM DONATED	PRODUCT OR SERVICE	FAIR MARKET VALUE
HOW WAS FAIR MARKET VALUE DETERMINED?			

### Summary of In-Kind Match Valuation Methodology

If the budget includes in-kind contributions as part of the local match, the application must include an ***In-Kind Match Report***. This is a written proposal that identifies the sources of in-kind match and method for determining their value. It must only include goods and services donated for the project that would represent eligible grant activities. Documentation for goods and services should include donation receipts stating the donor, the item donated, and its fair market value. Volunteer time should include time cards and be charged at either the prevailing wage or the wage rate paid to an employee performing similar duties.

Match must come from an outside source, i.e., not from the applying agency. And, match must benefit the project directly.

In-kind expenses must be included as *both* revenues and expenses in your budget.

**Examples of In-Kind Match:** Donated goods, Donated services, Volunteers

#### Examples of How to Estimate the Value of In-Kind Match

**Equipment/Goods.** A 2004 Dodge Caravan with 30,000 miles is donated to HDM, a non-profit organization that provides rides for their grant-funded specialized transportation program. The FMV of the van is determined when the vehicle is donated by using a Kelly Blue Book or a National Auto Dealership of America (NADA) Used Car Value Guide.

CONDITION	Excellent	Good	Fair
VALUE	\$11,660	\$10,935	\$9,995

**Services.** Maria, an attorney who normally charges \$160 per billable hour, donates her services to a non-profit transportation provider. If she provides 10 hours of legal services, the in-kind market value would be \$1,600 (10 hours @ \$160/hour).

On occasion, Maria also volunteers her time to drive HDM clients to appointments. In this case, the FMV is based on the rate the agency pays its employed drivers. It is not her normal billable rate as an attorney. If the drivers' hourly rate is \$12.50/hour and she spends 4 hours driving for the agency, the in-kind value is \$50 (4 hours @ \$12.50/hour).



# ELIGIBILITY AND PROJECT SELECTION

## Organizational Eligibility

See the table below to determine if your organization is eligible for FTA funding under Sections 5310, 5311, 5316, and 5317. **Note: No New Sections 5310 or 5311 applications are being accepted at this time, only updates to the 2010–2011 application.**

GRANT NUMBER	ORGANIZATIONAL TYPE		
5310	Private non-profit organizations.	Public bodies that certify to CDOT that no nonprofit corporations or associations are readily available in an area to provide the service.	Public bodies approved by CDOT to coordinate services for elderly persons and persons with disabilities.
5311; 5311(f)	A state or local government.*	Private non-profit organizations.	Commercial, for-profit operators (5311(f) only)
5316 AND 5317	A state or local governmental entity.*	Private non-profit organizations.	Operators of public transportation services, including private operators of public transportation services.

This term includes a political subdivision within Colorado; an authority of at least one state or political subdivision of Colorado; an Indian tribe; and a public corporation, board, or commission established under the laws of the state.

## Project Selection Overview

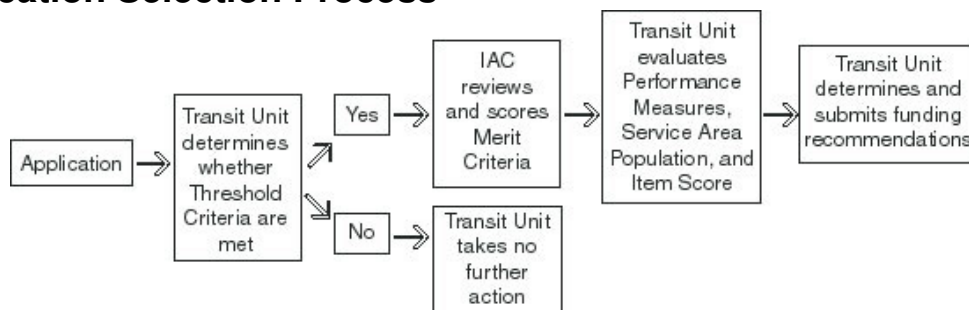
After your application is submitted, Transit Unit staff will determine if you have met all the threshold criteria. Minor corrections may be permitted (such as a missing signature) within two or three days. This does not extend the deadline or permit major corrections.

Transit Unit staff will reject any application

that does not meet all required threshold criteria. If staff determines an application fails to meet the threshold criteria the application will not be evaluated any further. Neither will staff comment on application elements other than those relating to threshold criteria.

After compliance with Threshold Criteria is

## Application Selection Process





verified, the Transit Unit gives the IAC complete applications to evaluate in detail. In addition to CDOT staff, the IAC consists of staff from various state departments. Individuals staffing those committees will have particular interest and expertise specific to these grant programs and may include Employment, Human Services (Aging and Adult Services, Temporary Assistance for Needy Families, Vocational Rehabilitation, Local Affairs, and/or Regulatory Agencies (Public Utilities Commission), federal agencies (e.g., Health and Human Services, Housing and Urban Development), as well as applicable non-government organizations (e.g., American Council for the Blind, Easter Seals, Cross Disability Coalition, etc).

Each IAC member scores applications based on each program-specific evaluation criteria. Scores are based on a scale from 0–3, using 0.5 intervals. Under the Sections 5310 and 5311 grant programs, Transit Unit staff makes funding recommendations for applications with final, averaged scores of 1.45 or higher; scores less than 1.45 will not be eligible for funding.

Two IAC subcommittees will review JARC and New Freedom applications. The JARC and New Freedom IAC recommends funding levels, in addition to recommending projects.

CDOT considers each applicant's specific financial need, as well as the specific need for any equipment being requested and the level of funding received in the past.

Because capital funding is usually not divisible (it's unreasonable to fund just half a bus), some applicants receiving scores over 1.45 may be denied capital funds if the amount of eligible requests are greater than the funds available.

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## Multi-Year Applications

Requests for funding are typically made within a two-year application cycle. Funding requests may span both years of the two-year application cycle or applicants may request funds in a specific year only. However, applications will only be accepted at the beginning of the application cycle; no new applications or requests are accepted during the second year of the cycle.

Requests for funding in the second year of the cycle are independent from first year requests. This is because grant funds are contracted on a per year, calendar basis. CDOT neither guarantees nor commits to funding second year requests.

Review and evaluation of second year funding requests are based on information provided in the application and application update. The Transit Unit uses the first year evaluation as it reviews second year funding requests. Merit and Item Scores may be adjusted for second year requests.

Before providing second year funds, Transit Unit staff will adjust the list of second year funding requests based on changes requested by the grantee, regulatory compliance of the grantee's first year project(s), and availability of congressional funds.

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## Selection Criteria

CDOT Transit Unit staff uses two categories of review criteria: Threshold and Evaluation. Threshold Criteria are what gets your application through the door, the minimum, basic requirements the application must meet before it's evaluated in detail. The second category of review is Evaluation Criteria, which ranks and prioritizes funding requests.

Meeting the Threshold Criteria does not obligate the Transit Unit or CDOT to award grant funds to a particular applicant.

## Threshold Criteria

Threshold Criteria are the minimum requirements all applications must meet to be considered for funding. Threshold Criteria are the following:

→ **Application is submitted on time.** The application for 2010–2011 funding cycle is due by **5:00 P.M., June 28, 2010**. Hardcopy documents, like certificates and assurances, signature pages, or other attachments must be postmarked or delivered on or before the deadline. Late Applications will be rejected.

→ **Application is complete.** A complete application includes legal documents with original signature(s) of individuals with the authority to sign legal documents for the applicant, a non-profit's president or board of directors' chair, for example.

If someone else has delegated signatory authority they may sign documents, but applications submitted with signatures from other individuals must include written verification of signatory authority.

CDOT will not accept faxed or emailed copies of documents that require original signatures.

→ **Application request is consistent with the CDOT Regional Transportation Plan (RTP).** The proposed project must be described in and consistent with a locally adopted RTP. Contact John Valerio at (303) 757-9769 if you're not sure your project meets this requirement.

→ **Applicant has the ability to manage public funds.** Applicants must have the fiscal capability to manage the funds they request. The Department will consider the following:

- If you are a new applicant (you haven't received FTA funds through CDOT within the past five years), CDOT may request additional information by phone or email or visit your agency to verify fiscal and managerial capability.
- If you are a current FTA grantee, but designated "high risk," CDOT will re-

view reports you have submitted and determine whether your agency is working to remove this designation.

- If you are a new applicant or a "high risk" grantee, your agency or organization must be able to demonstrate that it has experience with:
  - ✗ Managing public funds; and
  - ✗ Maintaining an accounting system consistent with generally accepted accounting principles (GAAP), one that segregates funds; uses an accrual method of accounting; and can translate fiscal data into the Uniform System of Accounts (USOA) system (specified by FTA).
- If you have the ability to establish reasonable safety and risk management procedures.
- If you have the ability to comply with regulations and contractual requirements. Such compliance must be demonstrated and documented.

→ **Application shows participation in a local Coordinated Human Services-Transportation Plan** (Sections 5310, 5316, and 5317 only). Project requests are to be derived from that plan. Contact John Valerio at 303-757-9767 for more information.

→ **Application shows local match.** Application documents the availability, source, and commitment of local match.

→ **Applicants has the ability to maintain the capital equipment requested.** Ability includes:

- ✗ Following vehicle manufacturers' minimum maintenance requirements;
- ✗ Performing regular scheduled preventive maintenance;
- ✗ Performing unscheduled maintenance; and
- ✗ Keeping maintenance records.

For questions about Threshold Criteria, contact John Valerio at 303-757-9767.

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## Section 5310—Additional Threshold Criteria

Applicants for Section 5310 funding must meet the Threshold Criteria discussed above and be either a private nonprofit organization or a local public entity.

**A Private Nonprofit Organization.** Eligible, existing private nonprofit grantees are eligible for funding if the agency/organization is on file and in good standing with CDOT.

*New applicants* that are local service providers and are members or affiliates of national or statewide private nonprofits must have IRS 501(c)(3) status or incorporation independent from their national or statewide organization. The national or statewide office of the private nonprofit may be the applicant *only if* the local service provider does not have or maintain its own IRS 501(c)(3) status or independent incorporation.

*New applicants* must include IRS 501(c)(3) documentation with their application.

**A Local Public Body.** A local public entity must satisfy one of the following conditions:

- **Local Public Body with a Designated Transportation Coordinator.** The local public entity must provide CDOT-approved coordinated transportation services in a given service area for elderly individuals and/or individuals with disabilities. For a local public body to coordinate services for these individuals, CDOT approval requires:
  - ✦ A formal working relationship between the local public body and the individuals or agencies with whom it will coordinate.
  - ✦ Integration of ADA and non-ADA eligible services (if applicable).
  - ✦ Effective and efficient use of requested capital equipment in line with the local coordinated plan.
- **Local Public Agency with no Private Nonprofit Transportation Provider Available.** If there are no private nonprofit transportation providers in the area that serve elderly and/or disabled clients, the local public body needs to certify this fact

to CDOT (this process is described in the Regional Transportation Plan (RTP)).

Complete the following and submit verifying documentation by the application deadline of May 18, 2009:

- ✦ Notify any known and applicable organizations listed in the local RTP that it intends to apply for funds.
- ✦ Provide CDOT with three copies of this communication, including any follow up correspondence from the organizations contacted.
- ✦ Provide CDOT with three copies of any legal notices published in the local newspaper about this action, along with any resulting correspondence.

If, in response to the local public agencies' correspondence or legal notices, a public nonprofit wants to apply for 5310 funds itself it must prove it is able to provide the transportation service in question as described in the regional RTP. If the private nonprofit is unable to provide these services, the local public agency may become the applicant.

*For sample copies of legal notices and/or sample letters to contact the organizations listed in the RTP, please contact Ann Beauvais.*

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## Section 5311—Additional Threshold Criteria

Section 5311 provides funding for public transportation in rural, unurbanized areas. The application narrative should clearly indicate that the applicant will provide such a service. Section 5311 recipients cannot limit their service to a specialized population (for example, the elderly or clients of a particular agency). Service must be open to the general public.

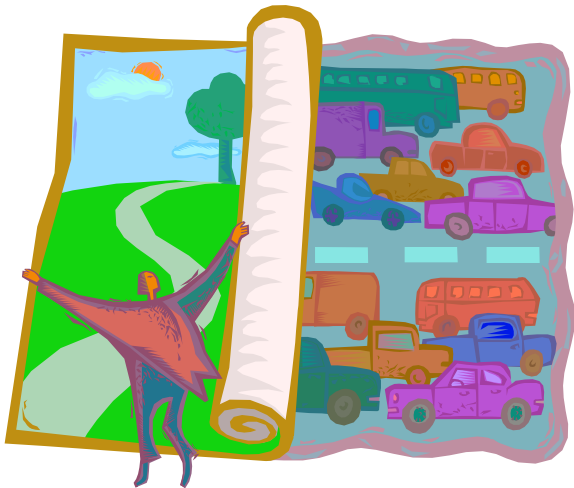
Recipients of 5311 funds need to clearly mark vehicles that the service is available to the general public. For example, a vehicle marking of "HDM Senior Center" wouldn't be acceptable unless it included language such as "Open to the General Public."

## Section 5311(f) Threshold Criteria for Intercity Bus (ICB)

ICB projects do not necessarily have to be described in a RTP since most RTPs do not address ICB services. It is preferable for small ICB projects (within one TPR) to submit a letter from the chairperson of the local Transportation Advisory Committee (TAC) and the Regional Planning Commission (RPC) stating:

- the ICB services are not in conflict with the transit services described in the RTP;
- there is a need for the proposed service(s), and;
- the TAC/RPC will include the integration of ICB services in future plan updates.

If more than one RTP area is involved, the application should describe the planning that it has done, including obtaining Public Utility Commission (PUC) authorization, making connections with other operators, etc.



## Sections 5310 and 5311 Evaluation Criteria

Depending on the type of request (5310 and 5311 capital requests include an Item Score), applications are evaluated on the combined scores from the Merit Score, the Item Score (for Section 5310), the Service Area Population Score (for Section 5311), and Performance Measures. See table below.

**Evaluation Breakdown: 5310 and 5311**

Evaluation Criteria	Section 5310	Section 5311
Merit	20 %	60 %
Item	60 %	N/A
Service Area Population	N/A	20 %
Performance	20 %	20 %

## Merit Score

The IAC only determines the Merit Scores. In the case of applications for Section 5311 funds, Merit Scores are used to rank and prioritize requests if Merit awards are made.

In the case of Section 5310 and Section 5311 *capital* equipment requests, the Merit Score is combined with the Item Score and Performance Score to determine a final Total Weighted Score, which is used to rank and prioritize capital equipment requests.

The IACs evaluate applications after they have met the minimum requirements specified under the Threshold Criteria. The IAC evaluates and score applications for Section 5310 and 5311 funding based on three Evaluation Criteria: Financial Justification, Service Justification, and Coordination. The IAC give a score to each application for each of the respective evaluation criteria (financial justification, service justification, and coordination) ranging from 0 to 3 at 0.5 intervals.

A score of zero indicates little or no evidence of success or justification with a particular evaluation criterion. A score of one indicates that an applicant shows some success or justification with an evaluation criterion, but

has room for improvement. A score of two indicates a moderate level of success or justification, while scores of three indicate applicants with significant and consistently high levels of success in the particular evaluation criterion.

The scores assigned by the IAC members for each application will be weighed and averaged among all IAC members to arrive at a final total Merit Score for each Section 5310 and 5311 application. *An applicant MUST receive a final total Merit Score of 1.45 (with a maximum possible score being 3) to be eligible for funding. Merit Scores below 1.45 will NOT be considered for funding.*

The scores for financial justification, service justification, and coordination are then combined into a Merit Score for each Section 5310 and 5311 application, using the following weights:

Merit Score Breakdown	
Justification of Financial Need	30 %
Justification of Service Need	30 %
Coordination of Services	40 %
TOTAL MERIT SCORE	100 %

The Merit Score determined in the first year of the grant cycle is also used to evaluate and score applications in the second year of the grant cycle.

## Justification of Financial Need

The Financial Justification criterion evaluates an applicant's demonstrated need for the level of funding requested. Scores for this criterion are based on IAC members' determination of an applicant's ability to justify financial need. The Financial Justification is 30 percent of an applicant's total Merit Score. The application must justify financial need for funding based on the factors below.

### 5310 Financial Justification

- The lack of funding resources available to the applicant;
- The concerted, good faith efforts to obtain funds for the project from non-DOT sources;
- The economic condition of the project's service area; and
- The level and amount of local commitment to transit.

### 5311 Financial Justification

- The reasonableness of costs to operate and administer the project (excluding capital costs);
- The amount of revenue available to the applicant, including contract revenue and earmarked funds;
- The level of local commitment to transit.
- The proportion of project costs covered by local funds;
- The concerted, good faith effort to obtain funds for the project from non-DOT sources; and
- The economic condition of the project's service area.

## Justification of Service Need

Service Justification evaluates the extent an application demonstrates need for the transit service or justifies the project. The Service Justification is 30 percent of the total Merit Score. At a minimum, IAC will consider the following factors in scoring applications under Service Justification:

### 5310 Service Justification

- The lack of appropriate transportation alternatives as demonstrated in the application;
- The transit dependency of the population in the project's service area;
- The diversity of population served. For example, whether the service:



- ✱ is or will be offered to a cross section of the elderly and disabled populations;
- ✱ does or will address the needs of ADA and non-ADA clientele;
- ✱ is or will be offered for a variety of trip purposes; and,
- ✱ is or will be provided over a wide geographical area;
- The determination of whether the applicant provides the project on behalf of other organizations; and
- The type(s) and total number(s) of transit riders served and trips provided.

In general, CDOT's policy is to assign lower scores and priority in the Service Justification and Coordination criteria to those applicants who directly or indirectly limit or direct all or a significant part of their service to a particular clientele (for example, elderly persons, developmentally disabled persons, residents, or customers of a particular facility, etc.), unless that service is operated separately from that for which funding is sought.

### 5311 Service Justification

- The transit dependency of the population in the geographical area of the project including the elderly, disabled, low income, general public, and other transit dependent persons.
- The extent to which the applicant provides service to other organizations;
- The numbers of riders and types of trips provided;
- The size of an applicant's service area; and
- Other relevant factors, such as congestion mitigation and air quality improvement.

## Coordination of Services

Coordination refers to the extent to which the applicant demonstrates that it has coordinated with other organizations to promote the service and reduce service duplication, overlapping service areas, and conflicts. Coordination of Services accounts for 40 percent of an applicant's Merit Score.

In addition, the IAC and CDOT consider applicants' good faith efforts to coordinate with private for profit operators in this criterion.

*Coordination of Services is **not** the same as the requirement for a locally derived, human service-transportation coordination plan.*

Neither the IAC nor CDOT will hold applicants to a single performance standard for coordination; coordination is related to individual circumstances. For example, the Transit Unit staff recognizes the limited number of social service agencies in resort areas with whom resort operators can coordinate; likewise, there is often a lack of commercial operators and human service agencies in some very rural areas with whom an applicant can coordinate.

It is an applicant's responsibility to take positive steps to coordinate services in its community. CDOT is sympathetic to those who would claim that they should not be punished if other organizations simply won't work cooperatively to coordinate services. However, in such situations CDOT emphasizes that its evaluation of coordination is, to a large extent, an evaluation of an entire community's coordination success, not just that of the applicant.

Applicants for 5310/5311 funds should demonstrate the ability to bring together different parties with an interest in transit services based upon:

- Coordination of project services with other public and private transit providers, social services agencies, and community organizations to promote the service and make it more efficient.
- Reduction of the total amount of miles traveled, operating expenses incurred, number of vehicles used, and lead time for

passenger scheduling in administering and operating the project, as a result of such coordination.

- Absence of duplication of the project and transit services provided by others.
- Lack of appropriate transportation alternatives. This should be demonstrated in the application.
- Type(s) and total number of transit riders served and trips provided.
- Consideration of whether and to what extent the project the applicant provides is on behalf of, or under contract with, other organizations, organizations (rather than for its own programs and purposes only).

### 5311 Service Area Population

For Section 5311 applications, 20 percent of Merit funding is awarded based on Service Area Population (SAP). CDOT grants SAP awards to Section 5311 applicants who request *administration and operating funds* that pass the Threshold criteria and receive at minimum Merit score of 1.45. The percent of total statewide SAP that a successful applicant has will be used to determine the amount of Section 5311 funds that are set aside for SAP awards. See table below.

Service Area Population awards for each Section 5311 applicant requesting *administration and operating funds* will consist of the population of nonurbanized areas which receive *regular and continuing public transportation* services described in the application.

Service Area Population Calculation			
Agency	Service Area Population	Percent of Total Population	Population Award
Agency X	100	20	\$ 200
Agency Y	350	70	\$ 700
Agency Z	50	10	\$ 100
Total Pop	500	100	\$ 1,000

Service Area Population is limited to incorporated areas defined by the most recent U.S. Census data; and unincorporated areas of population concentration identified as Census Designated Places (CDP). Use this link for access to Census information:


[http://www.dola.state.co.us/dlg/demog/census\\_profiles.html](http://www.dola.state.co.us/dlg/demog/census_profiles.html)

### 5310 and 5311 Item Score for Capital Requests

Under Section 5310 and Section 5311 capital requests, the Item Score provides 60 percent of the total Evaluation Criteria Score. The Item score includes several factors, particularly the following:

- **Replacement Vehicle.** If the vehicle is intended to replace an existing vehicle, Transit Unit staff will consider the age of the vehicle being replaced, its mileage, and its use.
- **Expansion Vehicle.** If the vehicle is intended to expand the existing fleet, staff will consider the reasons for expansion, the size of the current fleet, the population to be served, and the extent to which the need for the expansion is justified.

In general, CDOT uses a formula that gives higher priority to vehicles verses non-rolling stock capital equipment requests. It also prioritizes replacement vehicles over expansion vehicles.

 **CDOT generally will not replace or rehabilitate Body-on-Chassis vehicles with less than 100,000 miles on the odometer, nor will it fund new vehicles for use as part-time or spare/backup vehicles.**



## Performance Measures, 5310 and 5311

CDOT calculates performance scores by comparing similarly sized transit systems (winter resort systems; systems with large operating budgets; systems with medium operating budgets; and systems with small operating budgets).

Points are assigned based on three groups within each of the four size categories. Transit systems with the highest performing transit systems receive three points within their category; systems in the middle receive two points; and those systems in the lowest group receive one point.

For Section 5310 and Section 5311 *capital* projects, the number of points awarded across all performance measures is averaged and constitutes the Performance Score, which is combined with the Merit and Item Score to calculate the Total Weighted Score.

For applications requesting Section 5311 *administration and operating funds*, a dollar value-per-point is calculated based on the amount of funding set aside for Performance Awards and the total number of points awarded. This dollar value-per-point is multiplied by the number of points awarded to each Section 5311 applicant that requests *administration and operating funds* to determine the amount of Section 5311 funding awarded based on performance.

CDOT uses the three performance measures for Sections 5310 and 5311 applications:

- **Cost per Passenger Trip.** This indicator of service efficiency measures represents total operating expenses (including administration and maintenance) divided by the total annual number of passengers. Cost per passenger trip is also a reflection of the market demand for the service.
- **Passenger Trips per Revenue Service Hour.** This measures service effectiveness and is the ratio of passenger trips to revenue service hours of service.
- **Passenger Trips per Capita.** This identifies the average number of transit boardings by population. It is obtained by divid-

ing the total number of boardings by the service area population. The number is larger in areas that emphasize public transportation and in areas where there is a greater transit dependent population. Resort areas in Colorado have a high number of passenger trips per capita because of the large visitor population base.

Use of this measure requires a common definition of the population base. CDOT uses Service Area Population, which includes only incorporated cities and Census-designated places (CDP) where the applicant provides regular and continuing service.

## 5316 and 5317 Criteria and Evaluation

The application sections for the Job Access and Reverse Commute (JARC) Program (Section E) and the New Freedom Program (Section F) are primarily a qualitative assessment of three factors: the *need* for the project, the *strategy* for accomplishing the project, and the *collaborative* and *coordinative* efforts shown surrounding the project.

The JARC and New Freedom sections of the application follow a fairly typical problem-solving format that should encourage organized thinking and strategic planning. The JARC and New Freedom sections of the application address need and strategy; the collaboration/coordination portion of the score is addressed in Section A, Table A6 of the application.

The assessment “need” provides 30 percent of the application’s score; “strategy” provides 30 percent; and collaboration/cooperation provides the remaining 40 percent for a total percentage of 100.

Be sure you address the specific *goals* of these programs! For example, if you are applying for Section 5317, New Freedom funding, be absolutely certain you address both the program goals of providing new transportation services or new transportation alternatives AND providing services or alternatives that go *beyond the ADA*.

Evaluating need, strategy, and collaboration/coordination will identify projects that

best address FTA’s program goals. The IAC will judge the quality and clarity of answers given. Projects must be well thought-out, compelling, strategic, and must articulate how the proposal meets program intent and service needs. Projects should be cost efficient, use available resources effectively, and indicate the relative success of or sustained efforts of participation in local human service-transportation coordination (Table A4 of Section A, *Application Section for All Applicants*).

With a scoring range from 0 (“not applicable” or “non-responsive”) to 3 (“excellent”), IAC reviewers will evaluate how successful the application responds to the key criteria of need, strategy, and collaboration/coordination. Scores will be summed, and then averaged for each final JARC or New Freedom application.

For example, in the JARC or New Freedom applications, under “Project Details,” IAC reviewers will evaluate how well the answers address need-based issues.

The subsection “Project Stakeholders” also deals primarily with need-based issues. The remaining four subsections are strategy-based, relating to the proposal’s specifics, including major objectives and timelines, performance expectations, and use of funds.

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## 5316 and 5317 Performance Measures

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The subsection on Projecting Performance, asks the applicant to project, in numerical terms, how the proposed program is expected to perform. The application asks for grant-specific performance related measures projected through 2009.

**Sections 5316 and 5317.** FTA requires numerous performance measures for the Job Access and Reverse Commute (JARC) and the New Freedom Programs. See the table below; not all performance measures listed will apply.

The application asks for estimates of this data by year, however, it will be required from grantees each quarter.

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## 5310 and 5311 Project Selection

In the first year of the grant funding cycle, CDOT bases grant awards on the amount of funding appropriated for that year. *For Section 5310 projects*, the selection process is rather straight forward—capital requests are ranked in order of highest to lowest final Total Weighted Score. Projects are funded in this order until the amount of available funding is depleted or until all Section 5310 projects with a final Total Weighted Score of 1.45 are funded, which ever comes first. *CDOT will not recommend funding Section 5310 projects with a final Total Weighted Score of less 1.45 even if there are funds available to do so.*

One caveat exists in the selection process, however; because most capital equipment items are not divisible—i.e., you can’t by half a bus—some Section 5310 projects receiving scores above 1.45 may be denied funding because there are not available funds to cover the project cost at the maximum ratio allowed by the FTA (80 percent).

*It is generally CDOT’s policy to fund all Section 5310 projects at or near this ratio; over-matching is typically not allowed.*

**For Section 5311 projects**, CDOT allocates Section 5311 funds into the following general categories:

- ✓ **State Administration:** These funds are deducted “off-the-top” of the annual allocation and, under to FTA guidelines, are used to administer the Section 5311 program and to provide technical assistance.
- ✓ **Capital Awards:** Funds awarded for the purchase of capital equipment.
- ✓ **Intercity Bus Service Awards:** Funds awarded for the provision of intercity bus services. Pursuant to federal requirements, this is 15 percent of the amount appropriated each year, unless the governor signs a waiver to the contrary.
- ✓ **Service Area Population Awards:** Funds awarded based upon applicants’ Service Area Population. These funds may be used for operating or administrative expenses, but can not be used for capital expenses.

- ✓ **Performance Awards:** Funds awarded based on relative scores assigned by the CDOT for applicants' level of performance based on selected performance measures. These funds may be used only for operation or administration expenses.
- ✓ **Merit Awards:** Funds awarded based upon the relative scores assigned by the IAC to applicants based on the evaluation criteria, as described above. These funds may be used for operating or administration expenses, but shall not be used for capital expenses.

CDOT uses the following procedures to allocate to funds into the six general categories: CDOT first deducts the amount needed for State Administration from the annual allocation (not exceeding the maximum allowed by FTA, 15 percent); then deducts from the remaining FTA funds an amount for Capital Awards, at its discretion (in 2008, 20 percent was set aside for Capital Awards); then deducts from the remaining FTA funds an amount for Intercity Bus Service Awards, at its discretion; then deducts the remaining FTA funds for Service Area Population Awards (20 percent), Merit Awards (60 percent), and Performance Awards (20 percent).

When deciding to make awards, CDOT considers the total amount of FTA funds available for the respective categories of awards in a given year; the total amounts requested by eligible applicants from the respective categories; the total number of eligible applicants in that year; and, the need to provide for a fair and equitable distribution of available FTA funds within the State.

## 5311 Capital Awards

Capital awards out of Section 5311 are awarded at CDOT's discretion. Generally, if CDOT allocates Section 5311 funding for Capital Awards, capital equipment requests at the top of the list are funded first. However, CDOT will also take into account each applicant's specific financial need, justification for the capital equipment being requested, and level of funding provided in the past before recommending funding for Section 5311 Capital Awards.

Also, the process for selecting applicants for Section 5311 Capital Awards is slightly different than for Section 5310 in that applicants will be offered the opportunity to overmatch a Capital Award if some funds remain but does not amount to the full federal share of a particular capital equipment request. 5311 Performance Awards

CDOT will grant Performance Awards to applicants who receive at least the passing Merit score of 1.45. As mentioned previously, CDOT calculates Section 5311 *administration and operating funds* performance awards using a dollar value-per-point system, whereby the amount of funding set aside for Performance Awards is divided by the total number of points awarded in the performance measures comparisons of like-sized transit systems (winter resort systems; systems with large operating budgets; systems with medium operating budgets; and systems with small operating budgets) using the three selected performance measures: cost-per-passenger trip; passenger trips-per-hour; and passenger trips-per-capita.

The highest performing transit systems in each performance measure receive three points within their category; transit systems falling in the middle receive two points; and transit systems with the lowest performance in each performance measure receive one point. The number of Performance Measure points a transit system collects determines the amount of Section 5311 *administration and operating funds* awarded to them based on performance.

### *5311 Merit Awards*

CDOT grants Merit Awards to applicants receiving at least a passing score Merit Score. Merit Awards are based upon the rank of each applicant's Merit score relative to the Merit scores of all eligible applicants and is based upon the CDOT's assessment of the relative needs of each applicant.

Merit Awards are usually granted to close the gap between the amount of *administration and operating funds* awarded to Section

5311 applicants as SAP and Performance Awards and the amount requested to fully fund the Section 5311 project or provide a level of funds consistent with the level of service. However, while top-scoring applicants might receive a larger percentage of their request than low scoring applicants as part of a Merit Award, CDOT takes into consideration each applicant's specific financial need, past funding levels, justification for the requested level of funding, and history of compliance with state and federal regulations when making Merit Awards.



***Remember!!!***

**You must submit a complete capital request, capital inventory, and agency profile sections—before your application will be reviewed!**

Access it from the Transit Unit website at

[www.dot.state.co.us/App\\_transit/](http://www.dot.state.co.us/App_transit/)

# CAPITAL EXPLANATION AND DISCUSSION

Capital management is an important aspect of public transit because it affects the safety, marketability and financial integrity of the transit system. All property purchased with federal dollars is the responsibility of the transit system. Recipients of federal dollars administered by CDOT are required to certify that any property purchased with FTA funds is used for public transportation services within the given service area or other area described in the grant application for the life of the equipment or facility.

Transit systems must maintain the property at a high level of cleanliness, safety, and mechanical soundness. Each transit system must establish a maintenance program. The CDOT Transit Unit has the right and the obligation to review the transit system's maintenance and safety programs and to conduct periodic inspections of equipment and facilities funded with state and federal funds administered by the CDOT Transit Unit.

## Information Regarding Public

### Involvement: Application to CDOT using FTA Funds for Capital Projects

When applicants apply for capital funds from FTA, FTA requires applicants to contact affected parties in the service area to provide opportunity for comment on the proposed capital projects. FTA guidelines require that anyone with a significant social, economic, or environmental interest in a project must be given an opportunity to comment or request a hearing on the project(s).

To comply with this requirement, CDOT requires all applicants applying for FTA capital projects funds under grant programs 5310, 5311, 5316 and 5317 to publish a legal public notice **60 days** prior to submission of application to CDOT for the two year grant application cycle. For example, if your agency is applying in 2011 for the 2012 and 2013 grant cycle, the legal notice will list all capital projects to be applied for during this two-year period.

Applicants are to publish a legal notice during the second year of the grant application cycle (i.e. in 2012 for the 2013 application update) **ONLY** if capital projects proposed for second year are new to the application update. If the projects are the same projects applied for during the first year of the cycle, then a second grant application year legal notice is not required.

The notice must be published in the most frequently published newspaper in the service area. If the paper is printed daily, the notice must appear for three consecutive days. CDOT requires submission of a both a copy of the legal notice and affidavit of publication with your application materials.

If a public hearing was requested and held as a result of this notice, then the applicant must also attach a copy of the legal notice publishing the hearing date and time, affidavit of publication, the formal hearing record, list of those who attended, and a summary of efforts taken as a result of any issues raised during the public hearing.

The legal notice will advise the public of all capital projects the agency is planning to apply for during upcoming two year grant cycle, invite public comment, and welcome any requests for a public hearing on the project(s). Sample language is provided below.

### Sample Language for Legal Notice:

*The following is provided only as an example to applicants for legal notice publication. There are several choices provided throughout the sample notice. Select the appropriate description for the project to be funded through the application process. Be sure that your agency information is substituted within the brackets in the sample.*

The <APPLICANT AGENCY NAME> a <MUNICIPAL, SPECIAL PURPOSE, PRIVATE NONPROFIT ORGANIZATION>, intends to seek Federal Transit Administration assistance for capital expenses for calendar years <20XX and 20XX> through the Colorado Department of Transportation under the <SPE-



CIFY WHICH FTA GRANT PROGRAM(S) HERE, i.e.: ELDERLY AND PERSONS WITH DISABILITIES FORMULA GRANT PROGRAM SECTION 5310>. The project(s) are described as follows:

<INDICATE THE CAPITAL PROJECT(S) DESCRIPTION HERE. IF VEHICLES, LIST THE TYPE OF VEHICLE, NUMBER OF SEATED POSITONS, AND NUMBER OF WHEELCHAIR SPACES. IF OTHER CAPITAL, LIST GENERAL SPECIFICS, AMOUNT, TYPE, ETC.> in <INDICATE THE GEOGRAPHIC SERVICE AREA>. The deadline for submitting this application to CDOT is <PROVIDE APPLICATION DUE DATE HERE>.

Individuals or agencies seeking to request transportation service, coordinate transportation with <APPLICANT AGENCY NAME> or comment about the application should contact <NAME OF CONTACT PERSON AT AGENCY>, <AGENCY ADDRESS>, <AGENCY PHONE NUMBER>. Formal comments, requests for additional information, or requests for a public hearing must be received in writing by <PROVIDE DATE HERE THAT GIVES A 30 DAY DEADLINE FROM DATE OF PUBLICATION>. A public hearing may be requested to review and/or provide comment on the proposed grant request(s). Upon receipt of a request, a date will be scheduled and a notice of hearing will be published.

An applicant must hold a public hearing ONLY if it is requested in writing in response to your legal notification of intent to apply for federal funds. If your agency receives a written request for a public hearing, you must follow these steps.

You must publish a separate legal notice specifying the purpose, time and location of the public hearing in the same newspaper your agency published the first public notice, again for a three day paper if it is daily circulation. The place and time of the public hearing must be convenient for interested parties and the location must be accessible to the elderly and people with disabilities. The notice must appear at least two weeks prior to the date of the public hearing.

All existing public and private transportation providers in your service area must be notified of the public hearing by mail.

Your agency must make provisions for the submission of written and oral statements and exhibits at your public hearing. Translators for the oral statements and/or transcripts of all statements must be available for non-English speaking persons, the hearing impaired, or the visually impaired.

At the public hearing, you must discuss the following:

Applicant name and reason for application

Type of service and service improvements to be provided

Geographic boundaries of the service area

### **Sample Language for Legal Notice for Public Hearing:**

*The following is provided only as an example to applicants for public hearing legal notice publication. There are several choices provided throughout the sample notice. Select the appropriate description for the project to be funded through the application process. Be sure that your agency information is substituted within the brackets in the sample.*

Notice is hereby given that <APPLICANT AGENCY NAME> is applying for Federal Transit Administration financial assistance under the <SPECIFY WHICH FTA GRANT PROGRAM(S) HERE, i.e.: ELDERLY AND PERSONS WITH DISABILITIES FORMULA GRANT PROGRAM SECTION 5310>.

Upon request, a public hearing will be held by <APPLICANT AGENCY NAME> for the purpose of considering this project for which financial assistance is being sought from the U.S. Department of Transportation. Grant funds will be used to <DESCRIBE PROJECT, INCLUDING LOCATION, ITEMS TO BE PURCHASED, CONSTRUCTED, ETC>.

At the hearing, <APPLICANT AGENCY NAME> will afford an opportunity for interested persons or agencies to be heard with respect to the social, economic and environmental aspects of the project. Interested persons may submit oral or written evidence and recommendations with respect to said project.

Contact <NAME OF CONTACT PERSON AT AGENCY>, <AGENCY ADDRESS>, <AGENCY

PHONE NUMBER>. A copy of the grant proposal is currently available for public inspection at <AGENCY ADDRESS>.

## Capital Requests

Capital budget items are defined as the following:

- ➔ A cost of \$5,000 or more; and
- ➔ Useful life of more than *one* year

## How do I Make a Capital Request?

For the 2010/2011 grant funding cycle, applicants are to complete three steps in order to make a request for capital funding:

1. Update your Capital Inventory, located on the State Transit Program website: [www.dot.state.co.us/App\\_transit](http://www.dot.state.co.us/App_transit). All applicants must complete and certify their agency's capital inventory before the agency will be allowed to apply for funding under the four grant programs. In order for your capital inventory to be complete, it must include the following information:

- ✓ Capital equipment purchased with federal funds and/or still retaining federal interest.
- ✓ A complete inventory of ALL vehicles in your agency's fleet (this includes vehicles for full-time, part-time, and back up service).
- ✓ All agencies with current inventories must certify that any disposed vehicles have been removed from the list. (Contact Ann Beauvais to delete items from inventory pages).
- ✓ The mileage for all current vehicles should be updated to at least January 1, 2009.

**Contact Ann Beauvais before completing your capital inventory if your fleet has more than 50 vehicles.**

2. Make a request for capital on the State Transit Program website: [www.dot.state.co.us/App\\_transit](http://www.dot.state.co.us/App_transit). Once you have completed the capital inventory, you may login to the database and make

multiple capital requests for 2010 and 2011. The ability to do so is under the "Agencies" menu. The last choice on this menu is "Capital Equipment Requests."

- ✓ Once in the system, you will have the ability to choose from *seven* inventory types, ranging from vehicles to fleet maintenance equipment. Choose the inventory type that best suits your request.
- ✓ Once you have selected the inventory type the request best falls under, the system will ask you a series of questions about the request. All **required** questions/fields are marked with a red asterisk (\*).

**Note:** You should be prepared to answer all questions posed by this section. Capital requests will not be seriously considered and/or funded by the Transit Unit unless you can answer ahead of time basic cost and specification questions about the capital request.

3. Answer specific questions about the *need* for the capital request in the application.
  - ✓ Depending on what source of funding you are applying for (Sections 5310, 5311, 5316, or 5317) and the reason for the capital (replacement, expansion service, or new service), you will be asked a series of questions about the need for the capital request in the application.

## How is a Capital Request Evaluated?

In general, keep in mind the following when making a capital request:

- ✓ CDOT usually prioritizes vehicle requests over non-vehicle requests.
- ✓ CDOT usually prioritizes replacement requests over expansion or new service requests.

## Vehicle Replacement Requests

When comparing vehicle replacement requests, the department weighs three **main** evaluation criteria:



- ♦ Vehicle Mileage
- ♦ Vehicle Age (number of miles traveled on the vehicle per year)
- ♦ Vehicle Status in Fleet

Vehicle mileage and vehicle age are defined by the service life criteria described below. Vehicle status is defined as full time status. Priority is given to requests to replace vehicles currently in full time service. CDOT does not look favorably on a request to replace a vehicle currently used only part of the time or only used as a back up vehicle.

When measuring the number of miles traveled per year by a vehicle an applicant seeks to replace, CDOT will assume that vehicle of a particular model year was used that entire model year. That is, a 2004 Ford BOC with 88,000 miles on it will be assumed to have been operating five years (2004, 2005, 2006, 2007, and 2008), at an average of 17,600 miles per year. If that vehicle was not put into operation until 2005, the applicant should specifically point that out in the narrative.

There are other floating criteria the unit considers that may affect the score of a request in a positive or negative manner. These include whether the vehicle to be replaced is ADA compliant, whether the vehicle to be replaced a backup vehicle, etc.

CDOT *generally* goes by the service life policy for vehicles set by FTA when determining a good replacement request. Service life can be defined by either years of service *or* mileage, whichever is greater. Consider these guidelines carefully when determining which vehicles should be designated and requested as replacements in your fleet.

### *Service Life*

**Large, heavy-duty transit buses** (approximately 35–40 feet in length): At least 12 years of service or at least 500,000 miles

**Medium size, heavy-duty transit buses** (approximately 30 feet in length): 10 years of service or 350,000 miles

**Medium size, medium-duty transit buses** (approximately 30 feet in length): 7 years of service or 200,000 miles

**Medium size, light-duty transit buses** (approximately 25–35 feet in length): 5 years of service or 150,000 miles

**Other light-duty vehicles** such as small buses (BOC vehicles), regular or specialized vans: 4 years of service or 100,000 miles

All vehicles identified for replacement must be listed in your capital inventory, located on the state website database. The information located in the database is vital to evaluating your request effectively.

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### *Non-Vehicle Replacement Requests*

Non-vehicle capital requests will primarily be evaluated based on need and age of replacement. Agencies will have the ability, through the narrative, to explain why the request is being made.

The FTA does not clearly define service life in terms of years of service for non-vehicle capital. However, the IRS, in Publication 946, *How to Depreciate Property*, does provide some guidance as to useful life in its Alternative Depreciation System Recovery Periods. CDOT will use this information to provide for a general assessment of replacement requests.

### *Useful Life*

Buildings, New: 40 years  
Communication Equipment: 5 years  
Computers: 5 years

Maintenance Equipment and Fixtures to include compressors, diagnostic equipment, lifts, engine stands, bus washers, etc.: 12 years

As with vehicles, any non vehicle capital item identified for replacement must be listed in your capital inventory, located on the state website database. The information located in the database is vital to the Transit Unit staff in evaluating your request effectively.

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## *Expansion or New Service Requests*

### *Vehicle and Non-Vehicle*

Expansion and new service requests for vehicle or non-vehicle capital require an agency to justify the need for the service. The agency will be asked to demonstrate, in a narrative section, why there is a need for the service, and what client base the service will accommodate, including a review of ridership estimates and patterns.

Requests will be considered based on proper justification for the request, including ridership, type of service, how the scope of new/expansion service falls within the current program goals, and the ability to sustain the expansion or new service over time.

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### *Requests for Facilities*

While the department does not usually prioritize facility (e.g., bus garages, other shelters) requests over other capital requests, it will consider these requests with the following provisions. Capital requests must meet all requirements for construction under NEPA and FTA procurement guidelines and regulations. Applicants must be able to prove the request has met all local planning requirements, and taken into account issues regarding recovery of federal interest if the structure is used for purposes not allowed under the grant program. Contact CDOT's specific grant manager if you have questions.

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### *Capital Awards*

**Applicants should not proceed to purchase the capital equipment awarded through this grant application process until CDOT gives explicit approval to purchase.** Purchasing equipment without a signed contract between the State and the applicant is a serious violation of State regulations.

Capital budget items are defined as an item with a cost over **\$5,000** and a useful life or more than **one** year. A variety of capital purchases can be made with the FTA funding provided through CDOT. The following information outlines what purchases can be

made through the State and what purchases can be made by the grantee.

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### *Department Procurement*

"Body on Chassis" (BOC) minibuss transit vehicles are purchased under a procurement agreement developed by CDOT. The Department solicits bids for an entire group of vehicles, unless a grantee has been awarded a BOC under a special circumstance.

BOC vehicles are usually categorized into three different "types" for bidding purposes. The "types" are categorized by chassis size, passenger capacity, and width and length of the vehicle. See table below.

Grantees may not request a specific vehicle make or model because state and federal procurement policies require maximum open and free competition among vehicle vendors.

Within the bid package, the Department negotiates approximately 15 "options" grantees can choose from to add to their vehicle. These options range annually from an electric passenger door to mud and snow tires. The Department tries to negotiate the best set of options based on the needs of our grantees statewide. These options will be paid for at an 80 percent federal share, 20 percent local share split.

If the list of options in the approved bid is not adequate for an agency's needs, the grantee does have the ability to negotiate additional options or vehicle alterations with the vendor. The grantee does have to pay the full cost for these options and/or alterations; the Department will not split the cost.

Although the state negotiates a price with a vendor(s) for the vehicle types listed in the table, the grantee and vendor(s) will ultimately enter into a contract for purchase of the vehicle, and the grantee will assume all the rights and responsibilities for vendor negotiation if the product is not delivered as agreed.

The State also awards funds for ADA and non-ADA compliant minivan purchases made through the State.

☞ **Please be aware it can take up to a year from the time of the DRAFT AWARD ANNOUNCEMENT** (which occurs

in the preceding Autumn of each funding year) **to take final delivery of a vehicle purchased through the state procurement system.**

- ☞ **When the request for a BOC or mini-van is made, make sure the vehicle set for replacement can maintain full time service between the time of your request and the time a vehicle from the state procurement process can be delivered.**

## Agency Procurement

Outside of BOC vehicles and minivans, all other purchases of capital awarded by the Department will be handled by the agency receiving the funding award. Although the procurement process will vary depending on the capital award being received, basic state and federal procurement rules and regulations will apply to all grantees, these include:

- ✓ All grantees are required to comply with third-party contracting standards in accordance with FTA guidelines defined in FTA Circular 4220.1E, *Third-Party Contracting Requirements*, and adhere to standard procurement practices outlined by the FTA in the Best Practices Procurement Manual, and also the CDOT/FTA Procurement Handbook.
- ✓ All grantees, in accordance with 49 U.S.C 5325(a), *Full and Open Competition*, agree to conduct all procurement transactions in a manner that provides full and open competition. Grantees must also ensure bidder compliance with the following (all may not apply, based on award and

amount):

- Americans with Disabilities Act
  - Buy America
  - Bus Testing
  - Federal Motor Vehicle Safety Standards
  - Davis Bacon Labor Standards
  - Debarment and Suspension
  - Lobbying
  - Bonding Requirements
- ✓ All grantees are required to generate a written record of procurement history to include procurement planning, specifications, and pre-award and post-delivery audit requirements under FTA and State procurement regulations. Agencies need to be prepared to submit these documents to CDOT at any time during the procurement process. The grantees's procurement files must be sufficiently detailed to sustain an audit by FTA or CDOT. Files should contain a paper trail that clearly documents goods or services purchased, and documents the associated costs. FTA requires the state and its grantees to maintain procurement files and grant files for a period of not less than three years from the closing of the grant! This means that the grantee should maintain grant files for at least seven years following each purchase.

**More guidance regarding these processes can be found in the *CDOT/FTA Procurement Handbook*. CDOT will provide this guide to any grantee who receives funding for a non-state procured capital purchase.**

## Sole Source Procurement

In only the rarest of circumstances will the

## Body-on-Chassis Type Vehicles

A **Type I BOC** a Narrow BOC can usually seat up to 10 ambulatory passengers. The vehicle will typically have 1-2 wheelchair positions and a wheelbase range of 138 to 158 inches.

A **Type II BOC** a Standard BOC can usually seat up to 22 ambulatory passengers. The vehicle can accommodate anywhere from 2-4 wheelchair positions and has a wheelbase range of 158 to 233 inches.

Department entertain a request for a sole source procurement. Sole source procurement requests must be identified in the application and a strong justification must be made *in advance*, for why capital can only be acquired from a single supplier.

In most cases, CDOT will only grant a request if the compatibility of the equipment, accessories, or replacement parts is the paramount consideration of the request. If CDOT grants a capital request for sole source procurement, documentation will have to be submitted in accordance to state statute section CRS 24-103-205, *Sole Source Justification*.

## Vehicle Rehabilitation Projects

Federal and CDOT policies require a rehabilitated vehicle be restored to a condition that significantly extends the vehicle's useful life. A vehicle rehabilitation project must include:

1. A complete overhaul or replacement of two or more major drive-train subsystems (engine, transmission, rear end); or
2. A complete overhaul or replacement of one major drive-train subsystem (engine, transmission or rear end) and a thorough overhaul or rehabilitation of two or more of the following:
  - a) front suspension (must include more than shocks);
  - b) brakes (not just routine surface turning and shoe or pad replacement);
  - c) air conditioning system (must involve more than Freon recharge or leak repairs);
  - d) electrical system (must involve every subcomponent);
  - e) exterior body work and repainting (not just minor touch-up work or accident repair);
  - f) wheel bearings and axles;
  - g) interior (thorough upholstery recovering, refinishing the walls and resurfacing the floor); or
  - h) exhaust system (engine back replaced).

➔ **Replacement of expendables, i.e., tires, batteries, filters, lights, mufflers, or brake shoes can be part of the rehabilitation project but cannot be the predominant scope of the work.**

## Program Requirements

Applicants selected to receive federal funds agree to comply with any project monitoring requirements determined by CDOT staff.

- ➔ Applicants must certify they meet all standards for procurement including the FTA-required Standard Certifications and Assurances.
- ➔ All capital equipment provided with Section 5310, Section 5311, Section 5316, and Section 5317 funds must be titled to a public body or to a private non-profit organization. In the case of the 5311(f), a for-profit commercial organization may hold title.
- ➔ CDOT will be listed as first lien holder on the title of all vehicles purchased with FTA funds. CDOT will retain the vehicle's title until the lien has expired. Lien expiration is determined by the useful life of the vehicle, set by FTA and State guidelines. When CDOT releases the lien, the grantee owns the vehicle outright and may transfer the vehicle to another public agency or private nonprofit agency, or sell the vehicle by public auction or public notice with sealed bid if necessary.
- ➔ Grantees are expected to use capital equipment for the duration of the service life. Sale or disposal of all capital equipment funded by FTA funds cannot occur until the useful life has expired for a given capital item, as determined by the State. If the grantee chooses to relinquish the equipment before the end of the useful life, the State will transfer ownership, if possible, to another eligible entity. In such cases, the original grantee will be reimbursed the pro-rated local share by the new recipient of the capital equipment.
- ➔ Federal and state interest in capital equipment requires that the grant recipient obtain property damage insurance



covering 100 percent of the equipment's market value.

When a vehicle with existing federal interest has been in an accident and totaled; or can no longer be used as a safe public transit vehicle, the CDOT Transit Unit must be notified at once. Insurance information and a letter stating damages and the amount of the proposed settlement to the transit system should be forwarded to the Transit Unit. The Transit Unit must concur with the decision to total out the vehicle. The settlement funds can be used for the purchase of a vehicle of a similar age, mileage, capacity and condition for continued transit use until the federal interest has expired. The CDOT Transit Unit must approve any purchase. If the vehicle to purchase does

not meet the replacement threshold and a replacement is not purchased, the federal share amount of the vehicle must be returned to CDOT. This amount is based on a straight line depreciation or settlement value whichever is greater.

- ➔ Federally funded capital equipment and facilities must be maintained in good operating order. Federal maintenance requirements include following manufacturer's recommended maintenance schedules, use of specific maintenance schedules, and keeping records of maintenance activities, including *proper maintenance of ADA-related equipment*. The State will provide additional assistance to agencies that have issue with standardizing maintenance requirements.



## ELIGIBLE PROJECTS FOR FTA GRANTS

### ELIGIBLE CAPITAL REQUESTS FOR SECTION 5310

Funds for the Section 5310 program are available for capital expenses to support the provision of transportation services to meet the special needs of elderly persons and persons with disabilities.

**CDOT'S priority is generally to fund requests.**

**Note:** CDOT does not normally provide funding for passenger vans, or standard passenger vehicles.

Examples of capital expenses include:

⇒ VEHICLES/ROLLING STOCK	<b>UPDATES ONLY FOR 5310!</b>  <b>NO NEW APPLICATIONS WILL BE ACCEPTED FOR CY 2011.</b>	
✓ Buses (body on chassis vehicles)		
✓ Vans/Minivans		
⇒ RADIOS AND COMMUNICATION EQUIPMENT, COMPUTER HARDWARE/SOFTWARE		
⇒ FLEET MAINTENANCE EQUIPMENT		
⇒ VEHICLE EQUIPMENT/PARTS		
✓ Wheelchair lifts and restraints (bought individually, not as part of buses above)		
⇒ REHABILITATION		
✓ Vehicle rehabilitation, manufacture, or overhaul		
⇒ OPERATIONS and MAINTENANCE STRUCTURES		
✓ For example, vehicle shelters, bus shelters, maintenance structures. <b>Requests for facilities or structures must first meet strict federal guidelines. Contact Ann Beauvais at 303-757-9767 for information.</b>		
⇒ MOBILITY MANAGEMENT. See list of eligible activities at the end of this section.		
⇒ OTHER		
✓ The introduction of new technology, through innovative and improved products, into mass transportation; and		
✓ Transit related intelligent transportation systems.		

## ELIGIBLE EXPENSES FOR SECTION 5311:

<b>Operating Expenses</b>	Operating expenses costs directly related to system operations. At a minimum, the following items are considered operating expenses: fuel, oil, drivers' and dispatchers' salaries and fringe benefits, and licenses.
<b>Project Administrative Expenses</b>	<p>Eligible project administrative costs may include:</p> <ul style="list-style-type: none"> <li>⇒ General administrative expenses such as salaries of the project director, secretary, and bookkeeper;</li> <li>⇒ Marketing</li> <li>⇒ Insurance</li> <li>⇒ Office supplies</li> <li>⇒ Facilities</li> <li>⇒ Administration</li> </ul>
<b>Capital Expenses</b>	<p>Acquiring, component needed item. Examples include:</p> <ul style="list-style-type: none"> <li>⇒ VEHICLES/ROLLING STOCK <ul style="list-style-type: none"> <li>✓ Buses</li> <li>✓ Vans or other Paratransit vehicles</li> </ul> </li> <li>⇒ VEHICLE EQUIPMENT/PARTS <ul style="list-style-type: none"> <li>✓ Wheelchair lifts and restraints</li> </ul> </li> <li>⇒ RADIOS AND COMMUNICATION EQUIPMENT, COMPUTER HARDWARE/SOFTWARE</li> <li>⇒ FLEET MAINTENANCE EQUIPMENT <ul style="list-style-type: none"> <li>✓ Initial component installation costs</li> </ul> </li> <li>⇒ FACILITIES OR STRUCTURES <p><b>Requests for facilities or structures must <i>first</i> meet strict federal guidelines. Call Matt Paswaters at 303-757-9771 for information.</b></p> <ul style="list-style-type: none"> <li>✓ Construction or rehabilitation of transit facilities including design, and engineering;</li> <li>✓ Facilities to provide access for bicycles to transit facilities or equipment for transporting bicycles on transit vehicles;</li> <li>✓ Passenger shelters, bus stop signs, and similar passenger amenities.</li> </ul> </li> <li>⇒ REHABILITATION <ul style="list-style-type: none"> <li>✓ Vehicle rehabilitation, manufacture, or overhaul</li> </ul> </li> <li>⇒ OTHER <ul style="list-style-type: none"> <li>✓ The introduction of new technology, through innovative and improved products, into mass transportation; and</li> <li>✓ Transit related intelligent transportation systems.</li> </ul> </li> </ul>



CDOT generally discourages the use of Section 5311 funds for capital expenses if such requests can be made through the Section 5310 program.

**UPDATES ONLY  
FOR 5311!**

**NO NEW  
APPLICATIONS  
WILL BE  
ACCEPTED FOR  
CY 2011.**



## ELIGIBLE PROJECTS FOR SECTION 5316 JARC

JARC funds may be used for capital, planning, and operating expenses that support the development and maintenance of transportation services designed to transport Welfare recipients and low-income individuals to and from jobs and activities related

to their employment. For examples of capital expenses, refer to “Capital Requests for Section 5310.” For examples of operating expenses, refer to “Eligible Expenses for Section 5311.” Examples of eligible projects include:

⇒ Providing late-night service, weekend service, or guaranteed ride home service;
⇒ Providing shuttle service;
⇒ Expanding fixed-route public transit routes;
⇒ Providing demand-responsive van service;
⇒ Ridesharing and carpooling activities;
⇒ Supporting transit-related aspects of bicycling (e.g., adding bicycle racks to vehicles to support individuals that bicycle a portion of their commute or providing bicycle storage at transit stations);
⇒ Supporting the marketing of:
✓ Transit use by workers who have non-traditional work schedules;
✓ Transit voucher programs for welfare recipients and other low-income individuals, managed by appropriate agencies;
✓ Employer-provided transportation, such as shuttles, ridesharing, or carpooling; the development of employer-provided transportation such as shuttles, ridesharing, carpooling.”; or
✓ Transit pass programs and benefits under Section 132 of the Internal Revenue Code of 1986, <i>Transit and Parking Benefit Regulations</i> ;
⇒ Supporting the administration of and expenses related to voucher programs. This is intended to supplement existing transportation services by expanding the number of providers available or the number of passengers receiving transportation services. Vouchers can be used as an administrative mechanism for payment to providers of alternative transportation services. The JARC program can provide vouchers to low income individuals to purchase rides, including: <ol style="list-style-type: none"> <li>(1) Mileage reimbursement as part of a volunteer driver program,</li> <li>(2) A taxi trip, or</li> <li>(3) Trips provided by a human service agency.</li> </ol> Transportation providers can then submit the voucher to the JARC project administering agency for payment based on pre-determined rates or contractual arrangements. Transit passes for use on fixed route or ADA complementary paratransit service are not eligible. Vouchers are an operational expense that requires a 50/50 (federal/local) match;
⇒ Applying Geographic Information System (GIS) tools;
⇒ Implementing Intelligent Transportation Systems (ITS), including customer trip information technology;
⇒ Integrating automated regional public transit and human service transportation information, scheduling, and dispatch functions;
⇒ Deploying vehicle position-monitoring systems;
⇒ Supporting Mobility Management. See list of eligible activities at the end of this section.

## ELIGIBLE PROJECTS FOR SECTION 5317 NEW FREEDOM

New Freedom program funds may be used for capital and operating expenses. Funds must support projects that are (1) *new public transportation services* beyond those required by the ADA or (2) *new public transportation alternatives* beyond those required by the ADA.

FTA requires projects have both components of being a new public transportation service or new public transportation alternatives, **and** beyond the requirements of the ADA.

Furthermore, projects must:

- be targeted toward individuals with disabilities; and
- meet the intent of the program by removing barriers to transportation and assisting persons with disabilities with transportation needs, including transportation to and from jobs and employment support services.

New Public Transportation Services Beyond the ADA	
Paratransit Services	The services provided must meet the definition of “new.” To be considered new, the service or activity may not have been operating or have an identified funding source before August 10, 2005. Examples of eligible projects include:
	✓ Expanding complementary paratransit service parameters beyond the $\frac{3}{4}$ mile required by the ADA;
	✓ Expanding current hours of operation for complementary paratransit services that are beyond those provided on the fixed route services;
	✓ Providing same day service;
	✓ Enhancing the level of service by providing escorts or assisting riders through the door of their destination;
	✓ Acquiring vehicles and equipment designed to accommodate mobility aids that exceed the dimensions and weight ratings established for common wheelchairs under the ADA. Including labor costs of aides to help drivers assist passengers with over-sized wheelchairs. This would permit the acquisition of lifts with a larger capacity, instead of just modifications to lifts with a 600 lb design load. This would also permit the acquisition of heavier-duty vehicles for paratransit and/or demand-response service; and
	✓ Installing additional securement locations in public buses beyond what is required by the ADA.
Feeder Services	New “feeder” service (transit service that provides access) to commuter rail, commuter bus, intercity rail, and intercity bus stations, for which complementary paratransit service is not required under the ADA.
Travel Training	New training programs for individual users on awareness, knowledge, and skills of public and alternative transportation options available in their communities. This includes travel instruction and travel training services.

<b>Accessibility Improvements</b>	<p>New Freedom funds are eligible for new accessibility enhancements for individuals with disabilities so they may access greater portions of public transportation systems. This may include:</p>
	<ul style="list-style-type: none"> <li>✓ Building an accessible path to a bus stop that is currently inaccessible, including curb cuts, sidewalks, accessible pedestrian signals, or other accessible features;</li> </ul>
	<ul style="list-style-type: none"> <li>✓ Adding an elevator or ramps, detectable warnings, or other accessibility improvements that are not otherwise required under the ADA to a non-key station;</li> </ul>
	<ul style="list-style-type: none"> <li>✓ Improving signage or wayfinding technology; or</li> </ul>
	<ul style="list-style-type: none"> <li>✓ Implementing other technology improvements that enhance accessibility for persons with disabilities.</li> </ul>
<b>NEW PUBLIC TRANSPORTATION ALTERNATIVES BEYOND THE ADA</b>	
<b>Purchasing Vehicles</b>	<p>Purchasing and operating accessible vehicles for use in taxi, ridesharing, and/or vanpool programs if the vehicle has the capacity to accommodate, at a minimum, a passenger who uses a “common wheelchair” as defined under 49 CFR 37, <i>Transportation Services for Individuals with Disabilities (ADA)</i>. The passenger must be able to remain seated in their personal mobility device inside the vehicle. The vehicle must meet the same requirements for lifts, ramps, and securement systems specified in 49 CFR part 38, subpart B, <i>Americans with Disabilities Act (ADA) Accessibility Specifications for Transportation Vehicles, Buses, Vans, and Systems</i>.</p>
<b>New Volunteer Driver and Aide Programs</b>	<p>New volunteer driver programs are eligible and include support for costs associated with the administration, management of driver recruitment, safety, background checks, scheduling, coordination with passengers, and other related support functions, mileage reimbursement, and insurance associated with volunteer driver programs.</p> <p>The costs of new enhancements to increase capacity of existing volunteer driver programs are also eligible. Volunteer program supported by New Freedom must meet the requirements of both “new” and “beyond” the ADA. FTA encourages communities to offer consideration for using all available funding resources as an integrated part of the design and delivery of any volunteer driver/aide program.</p>
<b>New Mobility Management and Coordination Programs</b>	<p>Supporting Mobility Management. See list of eligible activities at the end of this section.</p>

**Voucher Programs**

Supporting the administration and expenses related to new voucher programs for transportation services offered by human service providers.

This activity is intended to support and supplement existing transportation services by expanding the number of providers available or the number of passengers receiving transportation services. Only new voucher programs or expansion of existing programs are eligible under the New Freedom program. Vouchers can be used as an administrative mechanism for payment of alternative transportation services to supplement available public transportation.

The New Freedom program can provide vouchers to individuals with disabilities to purchase rides, including:

1. Mileage reimbursement as part of a volunteer driver program;
2. A taxi trip; or
3. Trips provided by a human service agency.

Transportation providers can then submit the voucher for reimbursement to CDOT for payment based on pre-determined rates or contractual arrangements. Transit passes for use on existing fixed route or ADA complementary paratransit service are not eligible. Vouchers are an operational expense that requires a 50/50 (federal/local) match.

**Notes to Eligible Projects under Section 5317.**

CDOT believes that building curb cuts and sidewalks should be part of a more comprehensive plan for addressing mobility needs, and not simply an attempt to supplant the need for localities to construct sidewalks and curb cuts.

CDOT recognizes that elderly persons are often disabled, but also stresses that not all elderly persons are disabled. Applications should clearly describe the population that is to be targeted, including age ranges, type of disabilities, etc.

## ELIGIBLE PROJECTS FOR MOBILITY MANAGEMENT

Mobility Management became an eligible capital expense under the FTA sections 5310, 5316 and 5317 programs with the SAFETEA-LU reauthorization bill. The 5310 program circular, updated and released in May of 2007, states that Mobility Management is an eligible capital expense sup-

ported by up to 80 percent Federal participation. According to FTA, Mobility Management consists of short range planning and management activities and projects for improving coordination of other services and technology.

**UPDATES ONLY FOR  
MOBILITY MANAGEMENT  
UNDER 5310!**

**NO NEW 5310  
APPLICATIONS WILL BE  
ACCEPTED FOR CY 2011.**

New Mobility Management and Coordination Programs	<p>Supporting new mobility management activities of public transportation providers and other existing transportation.</p> <p>Mobility management techniques may be used to serve populations beyond those served by one mode of transportation in a community. For example, a non-profit agency may use funding to share services it provides to its own clientele with other individuals with disabilities and coordinate usage of vehicles with other non-profits. Mobility management is intended to build coordination among existing public transportation providers and other transportation service providers with the result of expanding the availability of service. Mobility management activities may include:</p>
	<ul style="list-style-type: none"> <li>✓ Promoting, enhancing, and facilitating access to transportation services, including integrating and coordinating services for individuals with disabilities, older adults, and low income individuals;</li> </ul>
	<ul style="list-style-type: none"> <li>✓ Supporting short term management activities to plan and implement coordinated services;</li> </ul>
	<ul style="list-style-type: none"> <li>✓ Supporting state and local coordination policy bodies and councils;</li> </ul>
	<ul style="list-style-type: none"> <li>✓ Operating transportation brokerages to coordinate providers, funding agencies, and customers;</li> </ul>
	<ul style="list-style-type: none"> <li>✓ Providing coordination services, including employer-oriented Transportation Management Organizations' and Human Service Organizations' customer-oriented travel navigator systems and neighborhood travel coordination activities such as coordinating individualized travel training and trip planning activities for customers;</li> </ul>
	<ul style="list-style-type: none"> <li>✓ Developing and operating one-stop transportation traveler call centers to coordinate transportation information on all travel modes and managing eligibility requirements and arrangements for customers among supporting programs; and</li> </ul>
	<ul style="list-style-type: none"> <li>✓ Operational planning for the acquisition of intelligent transportation technologies to help plan and operate coordinated systems inclusive of Geographic Information Systems (GIS) mapping, Global Positioning System technology, coordinated vehicle scheduling, dispatching, and monitoring technologies as well as technologies to track costs and billing in a coordinated system and single smart customer payment systems (acquisition of technology is also eligible as a stand alone capital expense).</li> </ul>